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ABSTRACT

This report provides background information on federal programs that have historically provided financial or material assistance to public, school, and college libraries. Programs and activities included are: (1) Federal Library Grant Programs; (2) Other Forms of Department of Education Activity Affecting Public Libraries; (3) Aid to College Libraries under the Higher Education Act; (4) Administration Proposal for Reauthorization of Library Assistance Legislation; (5) Aid to Elementary and Secondary School Libraries under Chapter 2, Title I, of the Elementary and Secondary Education Act; (6) Grants to Libraries by the National Endowment for the Humanities; (7) The National Commission on Libraries and Information Science; (8) Past, and Authorized Future, White House Conference on Library and Information Services; and (9) Assistance to Libraries Provided by the Library of Congress and Other Federal Libraries. Each section evaluates the funding sources and discusses related key issues. An appended table summarizes information about fiscal year 1990 and 1989 funding for selected library assistance programs. (SD)

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Federal Assistance to Libraries: Current Programs and Issues

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March 22, 1989

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ABSTRACT

Federal programs provide assistance to public, elementary and secondary school, and college libraries. The Federal Government has also assisted libraries through the activities of the Library of Congress, the National Commission on Libraries and Information Science, and a White House Conference on Libraries and Information Services. The programs of aid to public libraries will be considered for reauthorization by the 101st Congress, while a new White House Conference on Library and Information Services is authorized to take place by 1991. This report provides background information on the structure of these programs, their funding levels, available program evaluations and reports, reauthorization proposals, and general issues related to the programs.

FEDERAL ASSISTANCE TO LIBRARIES: CURRENT PROGRAMS AND ISSUES

SUMMARY

A variety of Federal programs and agencies provide assistance to public, college, and school libraries. In addition to grant programs, the Federal Government provides library-related research, development, technical assistance, and leadership services, as well as directly providing library services to individuals and other libraries in several fields. While each of these programs is relatively small--the fiscal year 1989 appropriation for the largest program specifically for libraries is $81 million--the aggregate level of Federal assistance to libraries, including both grants and other forms of aid, as well as the relative Federal contribution to certain types of library services, is more substantial.

The Federal programs of aid to elementary and secondary school and college libraries have been substantially amended in recent years, while the program of aid to public libraries will be considered for reauthorization by the 101st Congress. The Bush Administration has proposed legislation to replace current programs of aid to both public and college libraries. The 101st Congress is also considering whether to appropriate funds for a second White House Conference on Library and Information Services that was authorized in 1988.

A number of issues have arisen regarding these and other Federal library programs and agencies, particularly issues related to effectiveness, need, funding levels, and coordination of similar programs or activities; these issues, along with relevant background information, are discussed in this report.

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FEDERAL ASSISTANCE TO LIBRARIES: CURRENT PROGRAMS AND ISSUES

A variety of Federal programs have provided financial or material assistance to public, school, and college libraries since enactment of the original Library Services Act in 1956, or the initiation of the Federal depository library system in 1859. Although continued Federal funding for these programs has been questioned, the programs have continued, and some have experienced a modest expansion in terms of their appropriations levels and authorized activities. This report provides background information on these programs, including brief information on their structure, authorized activities, funding levels, available program evaluations, and issues.[1]

The programs and activities covered in this report are as follows:

- Federal library grant programs:
  - -- aid to public libraries under the Library Services and Construction Act,
  - -- other Department of Education activities affecting public libraries;
  - -- aid to college libraries under the Higher Education Act,
  - -- legislation proposed by the Bush Administration to replace current programs of aid to public and college libraries;
  - -- aid to elementary and secondary school libraries under title I, chapter 2 of the Elementary and Secondary Education Act, and
  - -- grants to libraries by the National Endowment for the Humanities;
- the National Commission on Libraries and Information Science;
- past, and proposed future, White House Conferences on Libraries and Information Services; and

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[1]Discussions of issues are provided only for the library grant programs and the principal Federal agencies involved with libraries.

- assistance to libraries provided by the Library of Congress and other Federal libraries.

An appendix table provides summary information on FY 1989 and 1990 funding for selected library assistance programs.

FEDERAL LIBRARY GRANT PROGRAMS

Aid to Public Libraries Under the Library Services and Construction Act

The Library Services and Construction Act (LSCA) was the first, and continues to be the largest, Federal program of assistance specifically to libraries. As most recently amended in 1984 (P.L. 98-480) and 1988 (P.L. 100-569), the LSCA contains six titles that authorize aid to public libraries. The LSCA programs are currently authorized through FY 1989, and will therefore be considered for reauthorization by the 101st Congress. With the exception of title V, funds have been appropriated for all titles of the LSCA for each of fiscal years 1986 through 1989.[2] Grants are allocated by statutory formula to the States under titles I-III of the LSCA, while titles V and VI are smaller, discretionary grant programs, where awards are based on national competition among applicants.

Title I, Library Services

Title I of the LSCA is the largest Federal assistance program specifically for libraries, with an FY 1989 appropriation of $81 million. While LSCA title I is also the most broad and general of the Federal library programs, the legislative intent is that title I funds **not** be used for general operations, but to expand the range of library services offered in the States, either by serving previously unserved or underserved populations especially the elderly, the handicapped, or those living in residential institutions or by providing new types of services to the public at large. To help assure that Federal funds are supplementary, LSCA title I includes a series of maintenance-of-effort requirements.[3] As is discussed later in this report, in the section on program issues, there have been mixed findings regarding the extent to which LSCA title I funds have been used for service expansion versus maintenance of existing services.

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[2]As will be described further below, title IV of the LSCA is not funded as a separate program. Title IV provides that 1.5 percent of the appropriations for each of titles I-III be used for grants to serve American Indians, and that 0.5 percent be used for grants to serve Native Hawaiians.

[3]In order to receive title I grants, States must assure that State and local expenditures for title I purposes will equal or exceed such State and local expenditures for the second preceding year; and that expenditures from all sources for library services to institutionalized and handicapped persons will equal or exceed such expenditures for the second preceding year.

Title I grants are allocated to the States on the basis of a formula that includes a State/local matching requirement. Two percent of total title I appropriations are set-aside for grants to agencies providing library services to American Indians and Native Hawaiians (under title IV). From the remaining funds, each State first receives a flat grant of $200,000 ($40,000 for each Outlying Area[4]), while additional funds are allocated among the States on the basis of their total population. The State matching requirement varies from 33 to 66 percent of the total (Federal plus State match) program costs, depending on the State's personal income per capita. The lower the State's personal income per capita, the lower the required matching percentage.

The distribution of LSCA title I funds among public libraries within States is conducted largely at the discretion of the State library agencies. One limitation is that in years when title I appropriations exceed $60 million, a portion of the title I grant in most States must be reserved for libraries serving cities with a population of 100,000 or more.[5]

The appropriations authorization level for LSCA title I is $95 million for FY 1989. The FY 1989 appropriation is $81,009,000.

Issues

The primary issues with respect to LSCA title I, and the LSCA in general, are whether the Act's purposes have been met, and whether the program has substantial impact on the availability and quality of library services. The primary original purpose of the Library Services Act of 1956 was to extend public library services to rural and other areas that had no public libraries. This basic goal would appear to have been met; the Department of Education estimates that 96 percent of the U.S. population has access to public library services, and that the remaining 4 percent live in such isolated circumstances that extension of services to them would be uneconomical. However, there is no general consensus on standards for "adequate," as opposed to minimal, public library services, nor any claim that 96 percent or more of the American population has access to "adequate" public library services.

In comparison to total revenues for public libraries from all sources, LSCA title I funds, or even all LSCA grants, would be relatively insignificant. An estimated 5 percent of all public library revenues come from Federal

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[4]The Outlying Areas are American Samoa, Guam, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the Virgin Islands.

[5]The required proportion of grants, made from appropriations in excess of $60 million, that must be reserved for libraries serving cities with a population of 100,000 or more varies by State, depending on whether the State contains any such cities and, if so, whether 50 percent or more of the total State population resides in such cities.

sources. However, LSCA title I funds are not intended to be used for general operations, but for innovative services or services to special populations, such as the elderly or those in institutions. Unfortunately, the most recent evaluation of actual use of LSCA title I funds was published in 1981, and is based on data from 1978.[6] According to that study, the use of LSCA title I funds was almost evenly split between ongoing services to the general public, versus innovative programs or services to special populations--e.g., handicapped, limited-English proficient, Indian, institutionalized, or other disadvantaged persons. However, many of the "ongoing services to the general public" appear to have been services initiated earlier with LSCA title I funds. Further, the distinction between "innovative" versus "ongoing" services is not clearly defined in the LSCA, and may be subject to debate. Therefore, the fact that an LSCA title I-supported service was not found in this study to be "innovative" does not necessarily mean that Federal funds simply supplanted State and local revenues for basic library services. The authors of the 1981 evaluation recommended modifications to the legislation and to oversight activities by the Department of Education to reduce the extent to which title I funds were used to maintain existing services, although this would have the disadvantage of reducing the large degree of flexibility that States now have to determine the uses and distribution of funds.

The 1981 study also found that LSCA title I funds represented 25 percent of all funds specifically devoted to State-sponsored, innovative, public library projects. Such projects involved the introduction of new technologies, community outreach services, continuing education for librarians, provision of services to the blind and physically handicapped, establishment of regional library systems, and improving the capacities of State library agencies. Thus, the potential significance and effect of LSCA title I funds depends primarily on whether they are viewed as a relatively small part of the total revenues of libraries, or as a relatively substantial share of "seed money" for expanded and innovative services.

Title II, Public Library Construction

Assistance for public library construction projects is authorized under title II of the LSCA. Authorized uses of title II funds include, but are not limited to, construction to remove barriers to access by handicapped persons, to conserve energy, to accommodate new information technologies, or to renovate historic buildings for use as public libraries.

LSCA title II funds are allocated to States using the same allocation formula and matching requirements as for title I, with two exceptions. First, the flat grant amount is $100,000 for each State ($20,000 for each Outlying Area). Second, the Federal share of total construction costs for each individual project assisted under title II may not exceed 50 percent. Grants

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[6]Applied Management Sciences. An Evaluation of Title I of the Library Services and Construction Act. Jan. 1981.

for individual projects within each State are made at the discretion of the State library agency. Funds were not appropriated for LSCA title II throughout most of the 1970s and early 1980s. However, Federal support for this program was revived in FY 1983, and it has been funded in each of FY 1985-1989.

The appropriations authorization level for LSCA title II is $50 million for FY 1989. The FY 1989 appropriation is $22,324,000.

Issues

In general, Federal programs in the areas of education, arts, and humanities provide few funds for construction, other than minor remodelling. This is at least partially because construction is usually considered to be a "basic" cost of providing education and related services, while Federal aid tends to be limited to the "supplementary" costs of providing "special" services. Similarly, no funds were appropriated for LSCA title II between fiscal years 1974 and 1982. However, funds have been provided under title II in FY 1983, as part of an "anti-recession" supplemental appropriations act, and in each year since 1985. The primary issues with respect to this assistance is whether it is an appropriate Federal role, and whether the aid is necessary.

While States are given substantial discretion in awarding LSCA title II funds, projects to be assisted include but are not limited to those to increase access to libraries by the handicapped, to conserve energy, to accommodate new technologies, or to convert historic buildings for use as libraries. Further, States and localities are required to match the Federal funds for each construction project, on at least a one-to-one basis. Thus, title II funds provide only partial support of construction projects, which are intended to help meet a Federal mandate (with respect to accessibility for the handicapped) or national legislative goals (of energy conservation, preservation of historic buildings, or adoption of new information technologies) under the LSCA or other statutes. Nevertheless, there is no requirement that title II funds be used to meet any of the above purposes, and the legislation contains no test or measure of need. As a result, it might be argued that title II funds largely supplant State or local funds that might otherwise be used for construction of public libraries.

Finally, in contrast to LSCA title I, title II grants may represent a substantial share of total expenditures for public library construction in the United States. The annual average of total public library construction and renovation expenditures in FY 1983-1986 is reported as having been $120.5 million.[7] The FY 1989 appropriation for title II of $22,324,000 would represent approximately 19 percent of such an expenditure level.

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[7]The Bowker Annual of Library and Book Trade Information, 1987 edition, p. 365.

Title III, Interlibrary Cooperation and Resource Sharing

Title III of the LSCA authorizes grants to the States for planning, developing, and implementing cooperative library resource-sharing networks. Historically, such resource-sharing primarily has taken the form of interlibrary loan programs, under which books not available at one library could be provided through other cooperating libraries in the region or State. While such interlibrary loan networks are still supported under title III, the program currently assists a variety of new forms of information technology, such as computer bibliographic systems that are communicated through telephone lines.

LSCA title III funds are allocated to States using the same allocation formula as for title I, with two exceptions. First, the flat grant amount is $40,000 for each State ($10,000 for each Outlying Area). Second, there are no matching or maintenance-of-effort requirements for title III.

The appropriations authorization level for LSCA title III is $30 million for FY 1989. The FY 1989 appropriation is $19,102,000.

Issues

It is highly probable that LSCA title III funds helped to stimulate the development and rapid growth of interlibrary loan programs and regional library consortia in the early years of the program, and of computerized bibliographic information transfer networks more recently. The major current issue for this program is whether the title III funds any longer significantly stimulate the development and expansion of these services, or the initiation of newer information and communications technologies, such as optical laser disks or satellite information retrieval.

Unfortunately, the lack of any significant or recent evaluations of this program make it impossible to provide reliable answers to such questions. While it is possible that title III funds are now largely used to maintain services that were initiated with previous title III grants, and that might be continued with State or local funds if title III aid were no longer available, there is no way to confirm such a hypothesis. Alternatively, title III funds might continue to be focused primarily on "cutting edge" information sharing techniques, that are undoubtedly rapidly developing. While these newer information technologies are generally more cost efficient over time--that is usually a primary rationale for their development--they usually involve substantial "up front" costs that libraries typically find it difficult to meet.

As noted elsewhere in this report, certain other Federal agencies--particularly the Library of Congress and the National Commission on Libraries and Information Science--conduct research, development, and dissemination activities related to library technologies. Therefore, a secondary issue related to LSCA title III is whether the Federal Government can best aid libraries in this area through continued--and perhaps expanded--research

and development, or through the financial assistance for implementation under title III. It might also be asked whether these related activities are sufficiently coordinated to be efficiently conducted and the results widely disseminated.

Title IV, Library Services for Indian Tribes

Title IV of the LSCA is not a separate authorization of appropriations; rather, it provides that certain funds from appropriations for titles I through III be set-aside to support services to American Indians and Native Hawaiians. The amount of each of title I through III's appropriations to be set-aside is 1.5 percent for American Indian tribes, and 0.5 percent for Native Hawaiians. The funds available to serve American Indians are to be allocated in equal portions to each applicant Indian tribe. Each program for which funds are so granted must be administered by a librarian. The grants for services to Native Hawaiians are to be distributed to organizations representing such persons that are recognized by the Governor of Hawaii. The provisions of title IV were added to the LSCA by the 1984 amendments to that Act (P.L. 98-480, as amended by P.L. 95-159). For FY 1989, a total appropriation of $2,448,000 was set aside for LSCA title IV.

Issues

Since this is a relatively new program, involving set-asides of funds from the existing LSCA titles I through III, there have been no evaluations, and no major issues have arisen. However, a survey of planned uses of FY 1987 LSCA title IV funds was published by the Department of Education (ED) in 1988.[8] According to this report, for FY 1987 ED first used the title IV set-aside funds to award basic grants of $3,572 to each of 191 Indian tribes and Alaskan Native villages, and $602,500 to Hawaiian Natives. The remaining title IV funds--$1,145,184--were used for 17 special project grants to Indian Tribes and Alaskan Native villages.

As this program develops, issues might arise regarding the distribution of these funds, and the efficiency with which the funds are used to provide library services to Indians and Native Hawaiians. It might be questioned whether the ED practice of providing small basic grants to each of several Indian tribes and Alaskan Native villages is an effective use of funds, although the provision of equal grants per applicant tribe is required by the authorizing legislation. Another title IV issue is whether ED has statutory justification for using almost one-half of title IV funds for discretionary special project grants, even though this might be a more effective use of funds than the small basic grants. Finally, it might be questioned whether the grant for services to Native Hawaiians is disproportionately large in

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[8] *Library Services for Indian Tribes and Hawaiian Natives Program*, U.S. Department of Education, Office of Educational Research and Improvement, June 1988.

comparison to the number of such individuals. According to the 1988 ED report on uses of title IV funds, the Native Hawaiian grants have been used for a wide variety of purposes, including needs assessment, recording and cataloging of oral chants, support of a genealogy resource center, dissemination of a collection of slides of Hawaiian plants, preparation of a data base on Hawaiian cultural and historical sites, and indexing of documents related to Hawaii.

Title V, Foreign Language Materials Acquisition

Under title V of the LSCA, grants are authorized for the acquisition of foreign language materials. Grants are to be made on a nationally competitive basis, and no annual grant shall be for more than $15,000. The appropriations authorization level for title V is $1 million for FY 1989. Through FY 1989, no funds have been appropriated for this title, which was added to the LSCA in 1984 (P.L. 98-480).

Issues

As this program has not been funded or implemented, no issues have arisen with respect to it. If funds are appropriated for LSCA title V in the future, it might be questioned whether a program with such a low authorization level could have a significant impact on the foreign language collections of more than a very small number of public libraries. Alternatively, it might be argued that increased congressional interest in foreign language education as evidenced 1988 legislative activity[9]--might justify renewed attention to LSCA title V, and perhaps a higher appropriations authorization level for the program.

Title VI, Library Literacy Programs

The final title of the LSCA authorizes grants for adult literacy programs in public libraries, to be made on the basis of National competition. No annual grant may exceed $25,000. The grants may be used for coordinating, planning, promoting, or conducting literacy programs in public libraries. Grants may also be used for training librarians and volunteers to participate in such programs.

The appropriations authorization level for LSCA title VI, which was added to the LSCA in 1984 (P.L. 98-480), is $5 million for FY 1989. The FY 1989 appropriation for this program is $4,730,000.

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[9]In 1988, the Congress authorized a new program of aid to foreign language education in elementary and secondary schools (title II, part B of the Elementary and Secondary Education Act, as amended by P.L. 100-297 and P.L. 100-418), and expanded the authorization for the postsecondary foreign language/international studies programs of title II of the Higher Education Act (under P.L. 100-418).

Issues

The primary issues for LSCA title VI are whether such a relatively small program, with a relatively low grant size limit ($25,000), can significantly reduce the extent of adult illiteracy; whether this program complements--or duplicates--the programs of the Adult Education Act; and whether grants under this program will significantly add to the number of library literacy activities being conducted without Federal assistance.

Since 1981, a Coalition for Literacy has been sponsored by the American Library Association and a number of other organizations, such as the International Reading Association and the American Association for Adult and Continuing Education. Using funds provided by private foundations and other sources, the Coalition provides technical assistance, advertising, and other services to libraries conducting literacy programs throughout the Nation. The existence of this privately sponsored and funded network might help to increase the efficiency with which LSCA title VI grants are utilized; alternatively, with library literacy activities already being stimulated and assisted by this network, LSCA title VI grants might have little net impact.

As yet, there have been no evaluations that might indicate which of these hypotheses would more accurately portray the effects of this program. However, the ED did publish in 1987 a descriptive survey of projects funded by LSCA title VI in fiscal year 1986.[10] In that year, ED granted LSCA title VI funds to 239 library literacy projects, with a wide variety of approaches and target populations.

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[10]U.S. Department of Education. Office of Educational Research and Improvement, *Library Literacy Program, Abstracts of Funded Programs, 1986.* June 1987.

OTHER FORMS OF DEPARTMENT OF EDUCATION ACTIVITY AFFECTING PUBLIC LIBRARIES

After a period in the early 1980s of relative inattention to public and other library issues, apparently in concert with the Administration's proposals to terminate Federal library grant programs, the U.S. Department of Education has in recent years initiated certain additional forms of support for libraries. These activities have included steps toward developing a new library data collection system, dissemination of information on model library programs, and exploration of research possibilities regarding public (and other) libraries.

The 1988 amendments to the authorization for the National Center for Education Statistics (NCES)[11] require the NCES to prepare reports on libraries in the United States. In response, the NCES has initiated the development, along with the State library agencies, of a national cooperative system of library statistics. This system is intended to collect and publish annual data on library resources, finances and utilization. The NCES held a conference of State library agency representatives in December 1988 to provide training and reach agreement on the data to be collected.[12]

In 1987, ED published a report on model public library programs, entitled *Check This Out*. This report provided the results of an effort to identify exemplary public library programs, so that information on these could be disseminated though the Department's National Diffusion Network. Sixty-two library programs are described in the report. The programs are aggregated into nine service areas, such as services to special populations, innovative and effective uses of information technology, and teaching elementary and secondary school students how to conduct research in public libraries.

Finally, ED has recently been exploring possible library research agendas, although not yet funding additional library research activity. In 1986 and 1987, ED held a series of field meetings intended to identify issues currently of major concern to librarians. The issues identified were:

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[11]Title III, part A of P.L. 100-297, the Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988.

[12]The Department of Education has prepared occasional reports on public library statistics in recent years, but has not been collecting or reporting these data on a comprehensive or systematic basis. For example, in July 1988 the Department published *Services and Resources for Young Adults in Public Libraries*, which was based on a fall 1987 survey of a representative sample of public libraries, conducted for ED by Westat, Inc.

- Federal, State, and local government responsibilities for providing library services,
- education and training of librarians,
- public access to information,
- preservation and archives,
- indexing and retrieving materials,
- relationship to educational institutions,
- funding levels,
- library service models,
- information users and their needs, and
- the role of the public services librarian.

The ED commissioned the preparation of reports on the state of knowledge in, and the need for further research on, most of these issue areas. These reports were published by ED in October 1988 (*Rethinking the Library in the Information Age, Issues in Library Research: Proposals for the 1990s*). Actual research on some of these topics might be undertaken in fiscal years 1989 and beyond with funds appropriated for the library research and demonstrations program, under title II, part B of the Higher Education Act.

AID TO COLLEGE LIBRARIES UNDER THE HIGHER EDUCATION ACT

Several forms of assistance to libraries at institutions of postsecondary education are authorized under title II of the Higher Education Act (HEA), Academic Library and Information Technology Enhancement. The legislation authorizing these programs was most recently amended and extended in the Higher Education Act Amendments of 1986 (P.L. 99-498). Title II of the HEA has authorized aid to college libraries since the Act was initially adopted in 1965 (P.L. 89-329). In FY 1989 and the immediately preceding fiscal years, funds have been appropriated for parts B and C of title II.[13] Funds were last appropriated for part A in FY 1981, while funds have been appropriated for part D in its current form beginning in FY 1988.[14]

Title II, Part A, College Library Resources

Part A of HEA title II authorizes a program of general purpose grants for library services at certain institutions of postsecondary education. As

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[13]In addition to the library assistance *programs* HEA the Federal Government has occasionally provided specific appropriations to individual college libraries in annual appropriations legislation for the ED or other agencies. In some cases, these libraries are designated as memorials to former Members of Congress or other persons. Some of these grants are specifically authorized in statutes enacted previous to the appropriation, others are implicitly authorized by the appropriation act itself.

It is beyond the scope of this report to provide a comprehensive list if these specific library grants. Selected examples of these grants include the following:

- $5 million to the Margaret Chase Smith Library Center, (P.L. 100-202);
- $1 million to the Samuel Rayburn Library, University of Texas (P.L. 93-441);
- $6.5 million to the Mortensen Library of the University of Hartford (P.L. 98-480); and
- $7.5 million for a research library at Boston College (P.L. 98-63).

[14]Previous to enactment of the Higher Education Amendments of 1986, part D of title II authorized a study of the feasibility of establishing a National Periodical System for college libraries. However, no funds were ever appropriated for this activity. A new part D was added by P.L. 99-498.

amended in 1986 (P.L. 99-498), part A funds may be provided only to institutions where the expenditures for library services, and the number of library volumes, per full-time equivalent (FTE) student are below the National average for institutions of comparable size and programs. (This requirement may be waived by the Department of Education, but only for up to 5 percent of the institutions receiving grants.) Grants are to be made in proportion to the number of FTE students at eligible institutions, and are to be within the range of $2,000-10,000 per annual grant.

To be eligible for a part A grant, institutions must maintain their library expenditures per FTE student in the year preceding a grant at the level of the average of such expenditures for the second and third preceding years (although a waiver of this requirement may be issued in "very unusual circumstances)." The grants under this part may be used for the purchase of books, periodicals, computer software and data, audiovisual materials, or for the establishment and maintenance of information-sharing networks.

A separate provision of the Higher Education Amendments of 1986 [15] requires the National Commission on Libraries and Information Science to conduct a study of the effectiveness of the title II, part A, aid eligibility criteria in directing assistance to institutions with the greatest need.

The appropriations authorization level for part A is $10 million for FY 1987, "such sums as may be necessary" for FY 1988-1991. No funds have been appropriated for title II, part A, programs since FY 1981.

Issues

In FY 1981 and preceding years, this program provided relatively small grants for the general support of library services, for which virtually every institution of higher education was eligible. In 1986, part A was revised to limit eligibility generally to institutions with lower than average library volumes or expenditures per FTE student. It remains to be seen whether this limitation on eligibility will result in appropriations again being provided for the part A program. If appropriations were provided, the size of these grants would again be relatively small: $2,000-10,000 per year for each eligible institution.

While the 1986 amendments to part A address the earlier program issue of whether participating institutions needed the Federal assistance, it may still be questioned whether such relatively small grants will have a significant effect, especially since the funds may be used to support library resources in general, rather than being limited to more specific purposes. Also, while program eligibility is more limited than previously, approximately one-half of all institutions of higher education could still qualify for grants, so the

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[15]Title XIII, sec. 1331, of P.L. 99-498.

program would not be sharply targeted in terms of the number of recipients either.

Title II, Part B, Library Training, Research, and Development

Part B of title II of the HEA authorizes two types of assistance to postsecondary level libraries: library career training; and support for research and demonstration projects related to libraries. Library career training grants are authorized to be used to support student fellowships or traineeships, the development or expansion of librarian education programs using new forms of information technology, and either short-term or regular session institutes for continuing education of experienced librarians. In recent years, these grants have been used primarily to support graduate fellowships, especially for women or members of minority groups. However, in fiscal years 1987 and 1988, a substantial share of the librarian training funds have been used to support institutes for continuing education.[16]

Research and demonstration grants may be made to a wide variety of organizations for projects related to libraries, librarianship, and information technology. In recent years, awards have been made under this program for studies of librarian education programs, literacy education in libraries, library services to Indian tribes, possible systems for collection of data on library activities, and other topics.

The appropriations authorization for part B is $5 million for FY 1987, "such sums as may be necessary" for FY 1988-1991. It is provided that two-thirds of appropriations for this part shall be used for library career training, the remaining one-third for research and demonstrations. The FY 1989 appropriation for this part is $709,000.

Issues

When the part B program was initiated, there was generally perceived to be a shortage of qualified professional librarians, relative to the demand. During much of the late 1970s and the 1980s, it was widely believed that this shortage had been eliminated, at least in the aggregate. However, the most recent estimates of the supply and demand for professional librarians again indicate a net shortage of librarians, compared to the projected demand.[17]

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[16]Such institutes were also funded from HEA II-B in fiscal years 1969-1979, but not between fiscal years 1980 and 1986.

[17]The Department of Labor's (DOL) publication, *Occupational Outlook Handbook, 1988-89*, forecasts relatively strong demand for librarians through the year 2000. According to the DOL, the net growth in number of librarian positions is likely to be relatively low, but a relatively high number of librarians are nearing retirement age, and there has been a sharp decrease in library school enrollments in recent years. Thus, the supply of new librarians

Thus, there may again be a rationale for Federal support of professional librarian education programs, particularly in such specialty areas as school and children's librarianship.

In recent years, the part B program has focused its grants on fellowships for minorities and women. However, while concern has been expressed about the status of minorities and women in librarianship, the main focus of that concern has been the number of such individuals in leadership positions, not the aggregate number of minority and female librarians.[18] Thus, it might be questioned whether a program aimed at increasing the number of minorities and women with library degrees will alleviate concerns about their status in the profession.

Given the rapid pace of technological developments in library and information services, there might be substantial value in supporting continuing education programs for experienced librarians. While grants for continuing education have been authorized under part B, and LSCA title I funds could also be used for continuing education of librarians, no part B funds were used for that purpose between fiscal years 1980 and 1986, and only about one-third were used for continuing education in fiscal years 1987 and 1988.[19] It is not known to what extent LSCA I grants are currently used for continuing education.

Regarding the use of part B funds for research and demonstrations, the main issues are whether such a small program (currently, approximately $236,000) might have any substantial impact, and whether this program duplicates or is insufficiently coordinated with other Federal activities in library research and development. As discussed elsewhere in this report, library and information science research and development activities are conducted also by the National Commission on Libraries and Information Science, and the Library of Congress. While it might be argued that these other research and development activities do not focus on the specific concerns of college and university libraries many HEA II-B activities are not specifically related to postsecondary libraries either.

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is low, while the demand for replacement librarians is high. DOL forecasts especially high demand for school and children's librarians, plus librarians specializing in cataloging and technical services.

[18]See, for example, Learmont, Carol L., and Stephen Van Houten. *Placements and Salaries, 1983: Catching Up*. [In] The Bowker Annual of Library and Book Trade Information, 1985. p. 356-371.

[19]U.S. Department of Education. Office of Educational Research and Improvement. *HEA Title II-B, Library Career Training Program, Abstracts of Funded Projects, 1988*, Jan. 1989.

Title II, Part C, Strengthening Research Library Resources

Part C of title II authorizes grants to research libraries, with collections deemed to be uniquely significant for scholarly research, at higher education institutions and elsewhere. Research libraries assisted under this program must have collections that are of National or international significance for scholarly research, that are unique, and that are in substantial demand by scholars not connected with the institution holding the collection. The Secretary of Education must allow institutions that would not regularly qualify for grants to submit additional information on the scholarly significance of their collections. The Secretary is also required to attempt to achieve a broad geographical distribution of part C grants.

In recent years, part C grants have been made to approximately 40-50 institutions per year. Most of the grantees have been institutions of higher education, but a significant proportion have been museums, historical societies, independent research libraries, and public libraries. The grants are generally used for the preservation of rare books and other materials, for development of specialized collections, or for cataloging and organizing collections.

The appropriations authorization for part C is $10 million for FY 1987, and "such sums as may be necessary" for FY 1988-1991. The FY 1989 appropriation is $5,675,000.

Issues

The primary issues regarding the title II-C program have been the need for the program, and the fairness and geographic distribution of the competition for grants. While conceptually separate, these issues are interrelated, since some have argued that the grants are unnecessary specifically because they tend to go to a limited number of institutions that are generally able to pay for the assisted activities from their own endowment income or other resources.

A comparison of HEA title II-C grants for fiscal years 1985 and 1986 indicates that 22 of the 38 institutions (58 percent) receiving awards in FY 1986 also received awards in FY 1985. Among the institutions receiving grants in both years were several large and prestigious universities with substantial endowments and other financial resources, including Stanford University, Dartmouth College, Massachusetts Institute of Technology, Princeton University, and Harvard University.

In response to these concerns, it might be argued that the part C statute does not specify that institutional need be considered in making grants, and that only the scholarly importance of the collections and the quality of the proposals are taken into account in awarding these funds. The Higher Education Amendments of 1986 (P.L. 99-498) amended part C to require that the Department of Education permit institutions that do not otherwise qualify

for grants to provide additional information on the scholarly significance of the collections upon which their proposals are based. It is also required that the Department of Education attempt to achieve "broad and equitable geographic distribution" of part C grants.

Title II, Part D, College Library Technology and Cooperation Grants

Part D of title II authorizes College Library Technology and Cooperation Grants. This program authorizes competitive grants to higher education and affiliated institutions to plan for, establish, equip, or maintain networks for sharing library resources (interlibrary loan programs, computer-based bibliographic and other information systems, etc.). Minimum awards are to be $15,000, to be expended over a 3-year period, and the Federal grant must be matched by non-Federal funds equal to at least one-third of the Federal allocation.

The authorization of appropriations for part D as initially enacted was $5 million for FY 1987, and "such sums as may be necessary" for FY 1988-1991. Further, the Omnibus Trade and Competitiveness Act of 1988 (P.L. 100-418) authorized an additional $2.5 million for FY 1988, and "such sums as may be necessary" for FY 1989-1991, for part D activities related to trade competitiveness. Part D was initially funded in FY 1988, and the FY 1989 appropriation is $3,651,000.

Issues

Since this program has been funded only for fiscal years 1988 and 1989, and no evaluations have been conducted, no issues have yet arisen with respect to the part D program.

ADMINISTRATION PROPOSAL FOR REAUTHORIZATION OF LIBRARY ASSISTANCE LEGISLATION

In conjunction with its budget requests for fiscal years 1989 and 1990, the Administration has proposed that the library assistance programs of the LSCA and the HEA be replaced with new legislation authorizing aid to all types of libraries. This proposal, that was introduced in the 100th Congress as S. 2579[20], represents both a consolidation of the separate public and college library assistance programs, and a restatement of the priority purposes of such aid.

Under the Administration's library reauthorization proposal, introduced in the 100th Congress as the "Library Improvement Act of 1988," aid would be provided to all types of libraries public, college, elementary and secondary school, research, special, and other under three titles. Title I, Library Services to Disadvantaged Americans, would support services to economically disadvantaged or handicapped individuals. This is a restatement, in somewhat narrower terms,[21] of one of the authorized purposes for which LSCA title I funds may be used. Among the services for which title I funds could be used is literacy training, which is currently authorized under LSCA title VI. Title I funds could not be used for construction (other than minor remodelling), for State administration, or for any particular project for more than five years.

Title II of the Administration's proposed library aid legislation would provide both State and national discretionary grants for resource sharing. These activities are similar to those assisted currently under LSCA title III as well as title II, part D, of the HEA for college libraries. Two-thirds of title II appropriations would be used for State grants, and the other third for national discretionary grants. Specifically authorized activities under title II would include personnel training to operate library networks, acquisition of computer hardware and software, cataloging of materials into data bases, and restoration or preservation of rare books to be made available through a network. Funds could not be used for any particular project for more than five years, and no funds could be used for State administration (although up to 5 percent of State grants could be used for planning purposes).

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[20]In material accompanying the FY 1990 budget request, the Department of Education states that its current reauthorization proposal will be the same as this bill introduced in the last Congress, except for technical changes such as modification of the appropriations authorization to reflect the Administration's FY 1990 proposed funding level for the new program. The detailed legislative language for the current Administration proposal is not yet available.

[21]LSCA title I refers to unserved or underserved populations generally, with specific reference to elderly, handicapped, or institutionalized persons.

Title III of the Administration's proposed library legislation would support library research and assessment activities. All title III funds would be devoted to national discretionary grants for library research and development, evaluation of library programs, or assessment of library services and conditions. These activities are similar to those authorized currently under title II, part B of the HEA.

State grants under title I of the Administration's proposed library legislation would be allocated among the States one-half on the basis of total State population and one-half on the basis of the number of persons in poor families. Title II State grant funds would be allocated on the basis of total population. For each title, each State would receive a minimum grant of 0.5 percent of total State grants. These formulas differ from those now used for titles I-III Of the LSCA in two ways: (1) the proposed legislation has a State minimum grant (0.5 percent) rather than current law's flat grant provisions; and (2) one-half of the funds under the proposed title I would be allocated in proportion to poverty population, rather than the total population counts used for the LSCA in all cases. The proposed bill also does not contain the matching or maintenance of effort requirements of the LSCA.

All State grants under the Administration's proposal would be distributed through the State library agency. Such agencies are typically responsible for public libraries only, not elementary and secondary school or college libraries.

The authorized appropriations level under the latest version of the Administration's proposed library assistance legislation would be $137.2 million, which is equal to the FY 1989 appropriation for the LSCA and HEA title II.

Issues

As noted above, the Administration's proposed library legislation is in several respects a consolidation and simplification of provisions currently in the LSCA plus HEA title II. Many of the same purposes and activities would be authorized. Major uses of funds now authorized under funded library legislation are construction (LSCA title II), library services to Indians or Native Hawaiians (LSCA title IV), librarian training (HEA title II, part B), or State administration (LSCA titles I-III). Activities that are currently authorized, but not funded, and would not be authorized under the Administration's proposal include innovative services that are not targeted on a disadvantaged population (LSCA title I), services to elderly or institutionalized persons (LSCA title I), foreign language material acquisition (LSCA title V), and general assistance to college libraries (HEA title II, part A). The proposed legislation would also lack current law's targeted assistance to library literacy programs (LSCA title VI), research libraries (HEA title II, part C), or college library information networks (HEA title II, part D).

In general, the proposal would target no funds on college libraries, which generally have no direct relationship to the State library agencies through

which all State grant funds would be distributed under the Administration's proposal. While elementary and secondary school libraries would be in a similar situation, these do not receive targeted Federal assistance under current law either. Another potential issue regarding types of libraries that could be assisted is that the proposal does not continue the current LSCA's eligibility limitation to public libraries that offer their services without charging fees. Apparently, private libraries, proprietary information services, and public or private libraries that charge fees to patrons, could receive grants under the proposed bill, but not under current law.

While the authorized funding level under the Administration's proposal is equal to the FY 1989 appropriation for ED library programs, it is well below the amount authorized to be appropriated under current law.

The Administration's proposal includes a general requirement that States evaluate library projects that receive Federal assistance. While the form and nature of such evaluations would be left to State discretion, the current LSCA and HEA title II include no program evaluation requirements.

Finally, it might be questioned whether detailed legislative proposals should be offered at this stage of the process of considering the reauthorization of the LSCA--i.e., before hearings or other formal action to obtain public and professional association recommendations. While unlikely, it is also possible that the second White House Conference on Library and Information Services might be conducted before action must be taken on LSCA reauthorization; if this should occur, the recommendations of the Conference should be considered as part of the reauthorization process. It might further be questioned whether reauthorization legislation should be designed to replace HEA title II as well as the LSCA, since the authorization for the HEA programs does not expire until the end of FY 1991.

AID TO ELEMENTARY AND SECONDARY SCHOOL LIBRARIES UNDER CHAPTER 2, TITLE I, OF THE ELEMENTARY AND SECONDARY EDUCATION ACT

Currently, no Federal program provides assistance specifically to elementary and secondary school libraries. However, elementary and secondary school library resources are among the activities that may be supported by grants under the block grant program of chapter 2, title I, Elementary and Secondary Education Act (ESEA). Chapter 2 was preceded by a program of grants specifically to elementary and secondary school libraries, under ESEA title II, as originally enacted in 1965. Title II existed as a separate program until adoption of the Education Amendments of 1974 (P.L. 93-380), under which aid to libraries was combined with other programs for instructional equipment and materials in title IV, part B, of the ESEA, Instructional Materials and School Library Resources. In the 1981 Education Consolidation and Improvement Act (ECIA), title IV and much of the rest of the ESEA were consolidated into ECIA chapter 2. Finally, chapter 2 was reauthorized in 1988 as ESEA Title I, chapter 2 Federal, State, and Local Partnership for Educational Improvement.

Under chapter 2, block grant funds are allocated to the States in proportion to total school-age population (ages 5-17 years), with a State minimum grant of 0.5 percent of total grants. States must distribute at least 80 percent of their grants to all local educational agencies (LEAs) in the State, using State developed allocation formulas that take into account LEAs' overall enrollment levels as well as the extent to which LEAs enroll pupils whose educational costs are higher than average (e.g., handicapped or educationally disadvantaged pupils). LEAs may use their chapter 2 grants for a variety of "targeted assistance" programs, including "acquisition and use of instructional and educational materials, including library books" and librarian training (ESEA sec. 1531(b)).

Given the nature of chapter 2, LEAs may use all, or none, of their funds for library resources, at their discretion. In practice, a recent study indicates that at least some chapter 2 funds were used in 1984-85 for "libraries and media centers" in a substantial majority 68 percent of a nationally representative sample of LEAs. It was further estimated that approximately 29 percent of all chapter 2 funds received by local educational agencies were used for "libraries and media centers."[22] In addition to library books and related materials, the category of "libraries and media centers" was defined to include all instructional materials and equipment other than computers i.e., science laboratory equipment, films, videocassette recorders and tapes, etc., were included in this category. This use of funds ranked second only to

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[22]SRI International, The Educational Block Grant at the Local Level: *The Implementation of Chapter 2 of the Education Consolidation and Improvement Act in Districts and Schools*, Jan. 1986. p. 42 and 45.

"computer applications" in terms of the percentage of LEAs using chapter 2 grants for this purpose, and in terms of the percentage of chapter 2 local funds so used. Thus, although there is no requirement that any LEA use chapter 2 funds for library services, and the category used in this study includes more than library resources as typically defined, it would appear likely that a substantial share of chapter 2 grants is used for library resources.

Chapter 2 also authorizes a number of national grant programs, including an Inexpensive Book Distribution Program for Reading Motivation, under which a contract is entered into by ED and Reading is Fundamental (RIF). RIF provides books to elementary and secondary pupils that they may keep.

The authorization of appropriations for chapter 2, including the State grant program and national programs, is $580 million for FY 1989. The FY 1989 appropriation for chapter 2 is $490,740,000.

Issues

From the enactment of the original Elementary and Secondary Education Act (ESEA) in 1965 until adoption of the Education Consolidation and Improvement Act (ECIA) in 1981, there were Federal programs of assistance specifically for school libraries (ESEA title II from 1965 until 1974) or "school libraries and learning resources" (ESEA title IV-B from 1974 until 1981). While school library resources have since 1981 been combined with a wide range of other purposes in chapter 2, with the extent to which funds are used for this purpose left to the discretion of local educational agencies, the study discussed above indicates that a substantial share of these funds are being used for library resources. The primary issue with respect to chapter 2 is whether the current extent of support for school libraries under chapter 2 is "adequate," and whether this approach is preferable to a categorical form of aid specifically for libraries.

As noted above, the major study of chapter 2 found that approximately 29 percent of local funds are being used for "library and media centers," a category that is somewhat broader than "library resources," since it included such items as science laboratory equipment. Nevertheless, if one applies the full 29 percent to local educational agency share of the FY 1989 appropriation for the State grant portion of chapter 2 (80 percent of $462,977,000), the result would be approximately $134 million in aid used for "library and media centers." While there is no generally accepted criterion for measuring the "adequacy" of such a level of aid, it might be compared to the funding level for "libraries and learning resources" under ESEA title IV-B in the last year of that program's existence (FY 1981). The FY 1981 appropriation for ESEA IV-B was $161 million; the estimated equivalent value of that appropriation in FY 1989 terms (i.e., adjusting for inflation in price levels between FY 1981

and FY 1989) is approximately $252 million.[23] Thus, it might be estimated that the level of Federal support for school library resources and related purposes has declined by approximately 47 percent since adoption of chapter 2.

The broader issue with respect to chapter 2 and school libraries or any specific educational activity is whether it is preferable to provide general aid to local educational agencies (LEAs), so that they can apply their own judgment and priorities in choosing where the funds might most effectively be spent, as opposed to the application of national judgment and priorities that is implicit in more specific aid programs. However, any further discussion of this general issue is beyond the scope of this report; for additional discussion of this and related issues, see U.S. Library of Congress. Congressional Research Service. Education Block Grant Reauthorization: Selected Options. June 1, 1987, CRS Report for Congress No. 87-494 EPW, by Paul M. Irwin

[23]The price index used is the deflator for State and local government purchases of services (fixed-weight version), provided by the U.S. Department of Commerce, Bureau of Economic Analysis.

GRANTS TO LIBRARIES BY THE NATIONAL ENDOWMENT FOR THE HUMANITIES

Although it does not conduct programs specifically for aid to libraries, the National Endowment for the Humanities (NEH) makes a significant number of grants to public, college or independent libraries for certain specialized purposes, such as the preservation of rare books, films, and other materials, or the development of collections. In FY 1987, the NEH made approximately $2.9 million in grants for humanities projects in libraries (e.g., exhibitions of books and documents, lectures, reading and discussion programs, etc.), and $3.8 million in preservation grants, many of which were made to libraries. A small NEH program ($229,000 in FY 1987) provides grants for travel by scholars to library and other collections. In addition, the NEH provided grants of $500 each in FY 1987 to a large number of public libraries for establishment of "Bicentennial Bookshelf" reference collections on the U.S. Constitution. The NEH program to expand access to reference materials provided $2.5 million in FY 1987, with many of these funds going to public or college libraries. Libraries may also apply for funds under the general NEH programs of grants to States and Challenge Grants. Finally, several of the grants of the Division of Research Programs, especially those for the development and cataloguing of collections, have at least partially assisted numerous postsecondary, independent, or major public libraries.

Issues

Perhaps the only issue that has arisen with respect to National Endowment for the Humanities grants to libraries is the question of whether the activities supported by the NEH are sufficiently coordinated with the frequently similar activities conducted with grants under part C of title II of the HEA or the LSCA, and by the National Commission on Libraries and Information Science, the Library of Congress, or other Federal programs and agencies. Coordination of the activities of these agencies and programs might be especially useful in such areas as research and development in preservation technologies, or in methods to increase access to collections of rare books or other materials.

THE NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE

The National Commission on Libraries and Information Science was established in 1970 (P.L. 91-345), as an independent agency within the executive branch of the Federal Government. As stated in the authorizing legislation, the purposes of the National Commission on Libraries and Information Science are to:

- advise the President, the Congress, plus other Federal, State, local, and private agencies on policies related to libraries;
- prepare studies of the library and information needs of the Nation, including the adequacy of current services and programs;
- develop plans for meeting national library and information needs; and
- promote library-related research and development activities.

In addition, a major activity of the National Commission on Libraries and Information Science has been the planning for and management of the 1979 (and an authorized second) White House Conference on Library and Information Services. The Commission consists of 15 members, including the Librarian of Congress (or his/her representative). At least five members must be professional librarians or information specialists.

Since fiscal year 1987, Commission activities have been intended to serve the four goals of "literacy," "democracy," "productivity," and "policy, planning, and advice." Specific activities of the Commission in recent years have included the preparation of numerous reports (either directly or via contract) on such topics as the role of libraries in supporting elementary and secondary education, an analysis of fees charged by libraries, ways in which libraries can help meet the needs of such special populations as the elderly or disadvantaged persons, relationships between information services and economic productivity, community information and referral services in libraries, public/private sector interaction in providing information services, and communication of information via computers.

The National Commission on Libraries and Information Science has worked cooperatively with other Federal agencies in a number of areas. Following the United States' withdrawal from the United Nations Educational, Scientific, and Cultural Organization (UNESCO), the U.S. State Department has continued to fund selected UNESCO activities related to library and information services through NCLIS. The Commission initiated a pilot program for transfer of computer assisted instruction in literacy from the Department of Defense to public libraries. It has worked with the Administration on Aging and ACTION in support of library services to, as

well as literacy volunteer services by, older Americans. It is involved in a project with the U.S. Information Agency and the Agency for International Development for translation of American text books into Spanish for use in Latin American nations. The Commission is also working with the National Center for Education Statistics to establish a Federal/State cooperative public library data system.

The Commission has also conducted seminars and conferences on various library issues. For example, in April 1989 the Commission, along with the American Association of School Librarians, plans to conduct a symposium on "Information Literacy and Education for the 21st Century: Toward an Agenda for Action."

The National Commission on Libraries and Information Science is authorized for an indefinite period, at an authorized appropriations level of $750,000 per year. The FY 1989 appropriation is $741,000. Additional resources are often provided by the loaning of staff from or the conduct of cooperative projects with other Federal agencies, the performance of research under contract to other agencies or the private sector, and private foundation grants. For example, in FY 1989 the Commission received an intergovernmental transfer of $225,000 for its work on the public library data system described above.

Issues

The primary issue with respect to the National Commission on Libraries and Information Science and its activities is the ambiguity of its role, or the conflict between its broad role and its small staff and budget. Any assumed role for the Commission, beyond the neutral provision of technical assistance, is at least somewhat controversial and contradictory to other possible roles. For example, some have assumed that the Commission should be the primary "spokesperson" for libraries within the Administration and in making presentations to the Congress. Yet this role would conflict with the Commission's supposed independence, as well as the reality of the Commission's position as part of the Administration, and the fact that Commission members are Presidential appointees. The potential for such conflict is reflected in a recent controversy over support by the Commission's chairman of a Federal Bureau of Investigation (FBI) program to investigate the use of American libraries by possible agents of foreign governments. The FBI program has been opposed by the American Library Association and other organizations of professional librarians.[24]

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[24]See *Should Librarians Support NCLIS?. Library Journal,* Apr. 1, 1988, p. 6; plus U.S. Congress. Senate. Committee on Appropriations. Subcommittee on Labor, Health and Human Services, and Education, and Related Agencies. Fiscal Year 1989 Hearings, Part 1. p. 410-412, 426-427.

Others have supposed that the Commission should be the primary developer of Federal library policies. Yet other, and much larger, agencies implicitly compete with the Commission in providing such leadership the Department of Education and the Library of Congress, or even the Federal Library and Information Center Committee (see below), for example. The limits on the Commission's ability to influence Administration policy are illustrated by the Commission's apparent disagreement with Reagan Administration proposals to terminate funding for LSCA programs for fiscal years 1983-1988,[25] and lack of Administration consultation of the Commission before submitting proposed legislation to revise library assistance programs in conjunction with the FY 1989 budget.[26]

Perhaps as a result of this ambiguity regarding its role, and its relatively small budget and staff, the most clearly defined functions of the Commission appear to have been the provision of technical advice and research, training or symposia on selected library topics, initiation of programs or activities in cooperation with other agencies and organizations, plus coordination of the 1979 White House Conference on Library and Information Services. As described below, the Commission would play a similar role with respect to the second White House Conference, that was authorized by the 100th Congress, if this Conference is funded and conducted. A recent report on the NCLIS by the American Library Association concluded that, "NCLIS has also described its role as being a catalyst, providing a forum, becoming and developing partners, and giving policy advice. Given its miniscule size and budget, its view of its role is realistic....[I]ts contribution is necessarily less than the constituents of its broad subject matter would prefer."[27]

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[25]In testimony before the Senate Subcommittee on Labor, Health and Human Services, and Education, and Related Agencies Appropriations on March 4, 1987, the Commission's vice-chair stated that the Commission had not been asked for advice on the FY 1988 LSCA budget request, and would not have favored the proposed funding termination if it had been asked about the Administration's proposal. (*Education Daily*, Mar. 5, 1987, p. 5) See also statements by Commission chairman Jerald C. Newman in U.S. Congress, House of Representatives, Committee on Appropriations, Subcommittee on Labor, Health and Human Services, and Education, and Related Agencies, Fiscal Year 1989 Hearings, Part 7, p. 205.

[26]Statement by Commission chairman Jerald C. Newman in U.S. Congress, Senate, Committee on Appropriations. Subcommittee on Labor, Health and Human Services, and Education, and Related Agencies. Fiscal Year 1989 Hearings, Part 1. p. 415.

[27]American Library Association, *U.S. National Commission on Libraries and Information Science, A Report on Its History and Effectiveness*, June 17, 1988, p. i, ii.

PAST, AND AUTHORIZED FUTURE, WHITE HOUSE CONFERENCES ON LIBRARY AND INFORMATION SERVICES

In 1979, a White House Conference on Library and Information Services was held for the first, and thus far only, time. As will be described further below, legislation to authorize a second conference was enacted by the 100th Congress.

The 1979 White House Conference was authorized under P.L. 93-568. This Act stated that the Conference should be held no later than 1978, although it was actually conducted in 1979. The authorizing legislation for the Conference provided that it bring together representatives of Federal, State, and local governments; educational institutions, agencies, and associations; institutions and organizations that provide library and information services; plus persons knowledgeable about library and information science technologies. Among the reasons stated in the authorizing statute for holding the Conference were the "indispensability" of access to information and ideas for the "continuance of enlightened self-government," the "essentiality" of "growth and augmentation of the Nation's libraries and information centers," and the "requirement" for national coordination to utilize the potential of new technologies for enhancing library services. The Conference was coordinated by the National Commission on Libraries and Information Science, with the assistance of a 28-member advisory committee. A total of $3.5 million was authorized to be appropriated to plan for and conduct the Conference. The actual amount appropriated for the Conference was also $3.5 million.

The 1979 White House Conference on Library and Information Services was preceded by conferences in each of the States and Outlying Areas. The Conference made a series of recommendations in a wide range of areas related to library and information services. The topics addressed by the Conference's resolutions included access to information, literacy, censorship, Federal support for libraries, dissemination of Federal publications, the status of library programs within the Department of Education, postal rates, technological development and implementation in information networks, international cooperation and information-sharing, plus services to special populations (e.g., the handicapped, Indians, and other minorities). The Conference also proposed the adoption of a Comprehensive National Library and Information Services Program by all levels of government, and enactment by the Federal Government of a National Library and Information Services Act. The proposed Federal legislation would have substantially expanded the types and funding level of Federal aid to libraries; similar legislation was introduced in the 96th and 97th Congresses, but no action was taken.[28]

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[28]See the National Library Act, S. 1124, 96th Congress, introduced by Senators Javits and Kennedy, and the National Library and Information (continued...)

After the 1979 Conference, a White House Conference on Library and Information Services Taskforce (WHCLIST) was formed as a continuing, independent organization to track and promote implementation of the Conference's recommendations. Although the major Federal legislation proposed by the Conference has not been adopted, the WHCLIST reports that many of the individual resolutions of the Conference have been implemented by the Federal, State, or local governments.[29] The WHCLIST also proposed that another White House Conference on Library and Information Services be held by 1989; legislation to this end was adopted by the 100th Congress (P.L. 100-382).

Statutory provisions for a second conference including the roles of the National Commission on Libraries and Information Science and an advisory committee under P.L. 100-382 are similar to those for the 1979 Conference. The Conference would be held between September 1, 1989 and September 30, 1991. A preliminary design group for the second White House Conference, operating under the auspices of the National Commission on Libraries and Information Science, has proposed that the conference focus on three themes: the role of library and information services in promoting economic productivity, promotion of literacy, and "democratic" access to information.[30] While the second White House Conference has been authorized, no funds have yet been appropriated for this purpose, nor has the Administration requested such funds in its FY 1990 budget request. The authorized appropriations level for Conference activities is $6 million, although no appropriations have yet been provided for the Conference.

Issues

The primary issue with respect to past or future White House Conferences on Library and Information Services is whether they have any significant impact. As noted earlier, the 1979 Conference developed a proposal for comprehensive expansion of Federal support of libraries; but no congressional action was taken on such legislation. Further, since the first

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[28](...continued)
Services Act, S. 1431, 97th Congress, introduced by Senators Stafford, Kennedy, Pell, and Randolph.

[29]See, for example, White House Conference on Library and Information Services Taskforce Five-Year Review of Progress Toward Implementation of the Resolutions Adopted at the 1979 White House Conference on Library and Information Services, Jan.1985.

[30]Toward the 1989 White House Conference on Library and Information Services, Report to the National Commission on Libraries and Information Science from the White House Conference Preliminary Design Group, Dec. 3, 1985.

Conference, the Federal program of aid for elementary and secondary school libraries has been consolidated into a block grant (see above), and the Administration requested that no funds be appropriated for any of the Federal programs of aid to public or college libraries for each of fiscal years 1981-1988. Other Federal policies adopted since 1979--in the areas of access to Federal information and publications, the professional status of Federal librarians, telecommunications and postal rates, or United States participation in the United Nations Educational, Cultural, and Scientific Organization (UNESCO) have been contrary to resolutions adopted by the 1979 White House Conference on Library and Information Services.

Advocates of conducting a second White House Conference on Library and Information Services have argued that the 1979 Conference had a significant impact, albeit not as substantial or comprehensive an effect as the conferees might have desired. Federal funding for LSCA and HEA programs has been continued, and at generally increased appropriations levels, except for title II, part A of the HEA, previously a program of relatively small, general-purpose grants for which virtually every college library was eligible.[31] Further, many of the individual recommendations of the 1979 White House Conference have been at least partially implemented by various States, by the activities of private organizations such as the American Library Association, or by the Federal Government in the 1984 amendments to the LSCA (P.L. 98-480), the 1986 amendments to the HEA (P.L. 99-498), or other legislation. Advocates of funding and holding a second conference argue that the conference would give the library profession and its concerns national visibility and attention; that the conference could address the many technological developments that have occurred since 1979; and that the recommendations of a second conference might be more widely adopted in a political and budgetary climate that could be different from that of the early 1980s.

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[31]Under the Higher Education Amendments of 1986 (P.L. 99-498), part A of HEA title II was amended to restrict eligibility to institutions meeting certain standards of need. See the section of this report on HEA II-A, above.

ASSISTANCE TO LIBRARIES PROVIDED BY THE LIBRARY OF CONGRESS AND OTHER FEDERAL LIBRARIES

Library Of Congress

Although the Library of Congress was established to serve as a resource for the Congress, the Library also--under authority of Congressional statutes and appropriations--performs a variety of functions that directly or indirectly assist public and school/college libraries throughout the Nation. This section of the report provides a brief listing of some of these services.[32]

Among the **direct** services provided to libraries throughout the Nation by the Library of Congress are:

- preparation and distribution of cataloging information on books, film, music, maps/atlases, and other media, in both machine-readable form (including electronic bibliographic information networks and compact laser disks) and in the form of printed catalog cards for use by libraries;
- preparation and dissemination of braille books, audio tapes and disks plus players for these, and other materials for the blind and physically handicapped;
- preparation and distribution of bibliographies on selected topics;
- preparation and distribution of technical publications to assist libraries in their processing activities;
- development of national and international standards for the preparation and distribution of bibliographic information;
- lending of books to other libraries through interlibrary loan networks;
- distribution of surplus books to other libraries through the exchange and gift service; and
- distribution of cataloging information on all materials registered by the Library's Copyright Office.

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[32]This listing is not intended to be exhaustive; those interested in more complete and detailed information on Library of Congress services to other libraries should contact the Information Office, Room LM-103, Library of Congress, Washington, D.C. 20540.

In addition, the Library of Congress **indirectly** assists public and school/college libraries by providing such services as:

- research and development related to book preservation and deacidification;[33]

- research and development of new forms of information storage, retrieval, and communications, such as a pilot program on possible uses of compact laser disks for information management and preservation;

- the documentation and dissemination activities of specialized Library organizations such as the American Folklife Center, the Music Division, the Geography and Map Division, the Law Library, the Children's Literature Center, the Prints and Photographs Division, the Rare Book and Special Collections Division, the Manuscript Division, the Motion Picture, Broadcasting, and Recorded Sound Division, the National Translations Center, or the collections specializing in specific languages and regions of the world;

- the protection of rights to literary and artistic works provided by the Copyright Office; and

- the preparation and distribution of analyses of the current and future status and role of literacy and printed literature by the Center for the Book.

Finally, the Library of Congress acts as a general reference library itself, providing reference and related services to members of the public in its Washington, D.C. area facilities. The FY 1989 appropriation for the Library of Congress, excluding the Congressional Research Service, was $212.8 million.

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[33]This is the removal of certain acidic substances from the paper used in most books and other publications from the late 19th century to the present. These acids, that are employed in production of the paper, are a primary cause of deterioration of older books. While acid-free paper is available, it is more expensive, and is therefore infrequently used. For further information on this topic, see U.S. Congress. Office of Technology Assessment. *Book Preservation Technologies*. May 1988.

Other Federal Libraries

Although **other Federal libraries** generally serve the information needs of the Federal agencies in which they are located, several of them also provide significant services, primarily through interlibrary loan or computerized information transfer systems, to patrons of libraries at large. The Federal Library and Information Center Committee (FLICC), located in the Library of Congress, tracks and attempts to coordinate the activities of all Federal libraries and related organizations. Examples of the largest and most significant of such Federal libraries include the National Library of Medicine (NLM) of the National Institutes of Health, U.S. Department of Health and Human Services, and the National Agricultural Library (NAL) of the U.S. Department of Agriculture.

The NLM provides numerous services to other libraries and directly to users via interlibrary loans but especially through computerized databases. The primary NLM databases are MEDLARS, MEDLINE, CHEMLINE, DOCLINE, and TOXNET. These databases are made available primarily through commercial firms offering access via telephone lines to microcomputer users, but also in compact laser disk form. The National Agricultural Library answers numerous reference requests, disseminates publications on agricultural subjects, and provides the AGRICOLA computerized database. The FY 1989 appropriation for the National Library of Medicine was $74.6 million, while that for the National Agricultural Library was $13.3 million.

In addition, at least two Federal agencies provide extensive services primarily to other Federal agencies and to individuals, but also to libraries, throughout the Nation. These are the National Archives and Records Administration and the National Technical Information Service. The National Archives and Records Administration (NARA) primarily stores and manages documentary records for the entire Federal Government. However, the NARA assists many individuals and libraries to locate and retrieve information from those documents that is of personal or national historical interest. The NARA also operates the series of Presidential libraries, which serve as reference sources on the period of the relevant Presidential Administration; while its National Historical Publications and Records Commission provides technical assistance to archival programs in State and local governments and libraries nationwide. The National Technical Information Service (NTIS), an agency of the Department of Commerce, is intended to be a central source for the collection and sale of domestic and foreign reports and publications on research in the areas of science, engineering, and related fields. The NTIS generally charges a fee for this service; fees are also charged by commercial firms that provide access to the NTIS data base for on line searching.[34]

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[34]Another example of a Federal agency disseminating information to libraries and other organizations and persons is the Department of Education's ERIC (Education Resources Information Center) system. ERIC (continued...)

Finally, through the Federal **Depository Library** system, copies of most Federal publications (e.g., the Congressional Record, Federal Register, public laws, congressional committee reports, etc.) are distributed free of charge to approximately 1,400 public and college libraries throughout the Nation. The Depository Library system was initiated in 1859, and includes at least two libraries in each congressional district, the libraries of all Land-Grant colleges, all State libraries, and law school libraries. Two depository libraries are designated in each congressional district by the Member of Congress representing the district, and two are designated in each State by each Senator. This program is administered by the Government Printing Office; the estimated FY 1989 funding level for distribution of documents to depository libraries is $21.2 million.

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[34](...continued)
provides references to education-related publications and research via telecommunications and compact laser disks, through the intermediary of commercial firms (i.e., ERIC prepares the bibliographic material, but users have access to it only through commercial databases). The ERIC system also sells, usually to libraries and colleges, microfiche sets of copies of most of the reports referenced by the system.

APPENDIX: SUMMARY OF FUNDING INFORMATION FOR LIBRARY ASSISTANCE PROGRAMS

The table below shows the FY 1989 appropriation, the FY 1990 authorization, and the FY 1990 Administration budget request for library assistance programs of the Library Services and Construction Act, Higher Education Act, Elementary and Secondary Education Act, and the National Commission on Libraries and Information Science. *See the note following the table regarding the status of the Administration's FY 1990 budget request for library programs.*

Summary Funding Information for Selected Federal Library Assistance Programs
(dollar amounts in thousands)

Program	FY 1989 appropriation	FY 1990 authorization	FY 1990 budget request b/
Library Services and Construction Act a/			
Title I, library services	$81,009	$95,000	$0
Title II, construction	22,324	50,000	0
Title III, interlibrary cooperation	19,102	30,000	0
Title V, foreign language materials	0	1,000	0
Title VI, library literacy programs	4,730	5,000	0

See footnotes at end of table.

Summary Funding Information for Selected
Federal Library Assistance Programs--Continued
(dollar amounts in thousands)

Program	FY 1989 appropriation	FY 1990 authorization	FY 1990 budget request b/
Higher Education Act, Title II			
Part A, college library resources	$0	ss c/	$0
Part B, library training and demonstrations	709	ss	0
Part C, research libraries	5,675	ss	0
Part D, college library technology and cooperation grants	3,651	ss	0
Proposed legislation	0	$137,200	137,200
Elementary and Secondary Education Act			
Chapter 2, educational improvement partnerships d/	462,977	ss	478,718
National Commission on Libraries and Information Science	741	750	770

a/ It is assumed that authorizations for LSCA programs are automatically extended for FY 1990, at their FY 1989 level, under provisions of sec. 414, General Education Provisions Act. The Congress may adopt LSCA reauthorization legislation before the beginning of FY 1990. Amounts set-aside for grants to serve American Indians and Native Hawaiians, under title IV of the LSCA, are included in the totals for LSCA titles I through III in the table.

b/ As of the time that this report was prepared, there remains some ambiguity regarding the level of the Bush Administration's FY 1990 budget request for most ED programs. The amounts shown in the final column in the table above were requested by the Reagan Administration in January 1989. In February 1989, the Bush Administration proposed additional FY 1990 appropriations for certain programs, none of which included libraries. The Bush Administration also proposed that funding be reduced for a group of Federal programs that includes those of the Department of Education, but did not specify how much of this reduction should be applied to ED in general, or any individual programs in particular. Thus, while no reductions from the Reagan budget request for specific ED programs were proposed, the Bush Administration has not simply proposed the Reagan amounts plus the additional funds requested in February 1989. Currently, ED officials are unable to provide a specific level for the Bush Administration's total FY 1990 budget request for ED, or for such individual programs as those for libraries.

c/ ss = "such sums as may be necessary."

d/ As noted in the body of this report, only a portion of these funds is used for library resources and related purposes, with that portion being determined at the discretion of local and State education agencies. Also note that only appropriations for chapter 2 State grants are included in this listing, not appropriations for national, discretionary programs.

NOTE: For information on trends in Federal aid to public libraries under the LSCA, see *U.S. Department of Education: Major Program Trends, Fiscal Years 1980-1990*, CRS Report for Congress 89-144 EPW. p. 97-101. This report contains estimates of the changes in LSCA appropriations, adjusted for price level changes over the FY 1980-1990 period. According to this report, the constant dollar (i.e., adjusted for price level changes) level of total LSCA appropriations rose by an estimated 10 percent between FY 1980 and 1989. However, this overall increase was due primarily to increases in LSCA title II (construction), which was funded in FY 1989 but not in FY 1980. Considering LSCA titles I and III alone, it is estimated that the constant dollar appropriation level fell by 13 percent between FY 1980 and 1989.